

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant:

Christopher KEITH

Filed:

March 8, 2001

Art Unit:

2161

Examiner:

Serial No.:

09/801,495

Confirmation No.:

4755

Title:

ROUTING CONTROL FOR ORDERS ELIGIBLE

FOR MULTIPLE MARKETS

RECEIVED

SFP 1 8 2001

INFORMATION DISCLOSURE STATEMENT

Technology Center 2100

Assistant Commissioner for Patents Washington, DC 20231

Sir:

This Information Disclosure Statement is filed in accordance with 37 C.F.R. §§ 1.56, 1.97 and 1.98. The items listed on Form PTO 1449, a copy of which is enclosed, may be pertinent to the above-referenced application and are made of record to assist the Patent Office in its examination of this application. The Examiner is requested to fully consider the items and independently ascertain their teaching.

No fee is due since this Information Disclosure Statement is being filed

[x] before the mailing date of a first Office Action on the merits.

Respectfully submitted,

Date: September 14, 2001

260 West 52 St. Ste. 27B New York, NY 10019 voice/fax 212 245-3940 Brenda Pomerance Reg. No. 36,894

PATENT 0505-4006

2161 #4 TENT 10-25-01

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant:

Christopher KEITH

Filed:

March 8, 2001

Art Unit:

2161

Examiner:

Serial No.:

09/801,495

Confirmation No.:

4755

Title:

ROUTING CONTROL FOR ORDERS ELIGIBLE

FOR MULTIPLE MARKETS

CERTIFICATE OF MAILING

RECEIVED

SEP 1 8 2001

I hereby certify that the following attached paper(s) and/or fee

Technology Center 2100

- 1. Information Disclosure Statement
- 2. PTO Form 1449
- 3. Copies of 37 references
- 4. Return receipt postcard

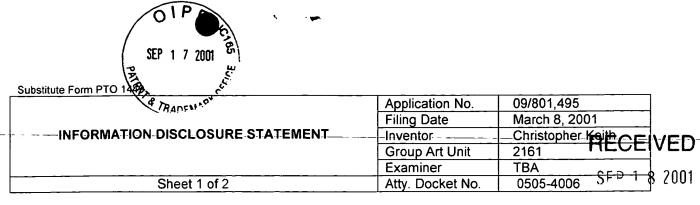
are being deposited with the United States Postal Service with sufficient postage as first class mail under 37 C.F.R. § 1.8 on the date indicated below in an envelope addressed to: Assistant Commissioner for Patents, Washington, DC 20231.

Date: September 14, 2001

Brenda Pomerance

CORRESPONDENCE ADDRESS:

Brenda Pomerance 260 West 52 St. Ste. 27B New York, NY 10019 212 245-3940

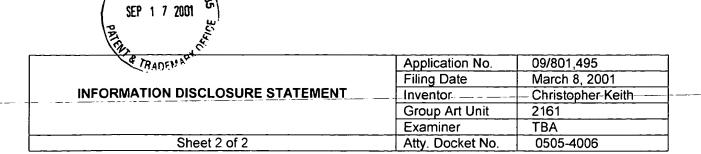


Technology Center 2100

Examiner	Cite	U.S. Patent Document		Name of Patentee	Publication Date	Relevant	
Initials	No.		Kind Code		MM-DD-YYYY	text or Figs.	
	AA	6134535		Belzberg	10-17-2000		
	AB	6105005		Fuhrer	08-15-2000		
	AC	6092056	•	Tull, Jr. et al.	07-18-2000		
	AD	6035287		Stallaert et al.	03-07-2000		
	AE	6026383		Ausubel	02-15-2000		
	AF	6021398		Ausubel	02-01-2000		
	AG	6018722	·	Ray et al.	01-25-2000		
	AH	6016483		Rickard	01-18-2000		
	Al	6012046		Lupien	01-04-2000		
	AJ	5987435		Weiss	11-16-1999		
	AK	5978779		Stein et al.	11-02-1999		
•	AL	5963923		Garber	10-05-1999		
	AM	5950177		Lupien et al.	09-07-1999		
	AN	5950176		Keiser	09-07-1999		
	AO	5946657		Tull, Jr.	08-31-1999		
	AP	5946666		Nevo et al.	08-31-1999		
	AQ	5941996		Smith	08-24-1999		
	AR	5315634		Tanaka et al.	05-24-1994		
	AS	5924082		Silverman	07-13-1999		
	AT	5826244		Huberman	10-20-1998		
	AU	5806048		Kiron	09-08-1998	·	

FOREIGN PATENT DOCUMENTS								
Examiner	Cite	Foreign Patent Documents			Name of Patentee	Publication Date	Relevant	Trsl.
Initials	No.	Office	Number	Kind Code	or Assignee	MM-DD-YYYY	text or Figs.	(√)
	BA	WO	00/63814	A1	Lava Trading	10-26-2000		
	BB	WO	01/02930	A2	Globenet	01-11-2001		
+					Capital			
					Corporation			
						,		

Examiner	Date
Signature	Considered



		OTHER PRIOR ART - NON PATENT LITERATURE DOCUMENTS	·
Examiner Initials	Cite No.	AUTHOR, title, magazine, date, pages, publisher, city where published	Trsl. (√)
	CA	"AuctionBot", 9 pages from http://auction.eecs.umich.edu, printed March 30, 2000	
	СВ	MAES et al., "Agents that Buy and Sell: Transforming Commerce as we Know It", Comm. ACM, March 1999, vol. 42, no. 3	
	СС	WELLMAN et al., "Real Time Issues for Internet Auctions", First IEEE Workshop on Dependable and Real-Time E-Commerce Systems (DARE-98), Denver, CO, June 1998	
	CD	WURMAN et al., "Flexible Double Auctions for Electronic Commerce: Theory and Implementation", July 13, 1998, to appear in "Decision Support Systems"	
	CE	MERTZ et al., "The Handbook of Investment Technology," Chapters 7, 8, and 15	
	CF	KEYES, "Handbook of Technology Financial Services, Chapters 5, 36, 37, 40	
	CG	TEWELES et al, "The Stock Market," Chapters 8 and 23	
	CH	DALTON, "How the Stock Market Works," Chapters 5 and 7	
	CI	"PeCo-Mediator: finding partners via personal connections," IEEE Int. Conf. on Systems, Man and Cybernetics 1996, vol. 1:802-7 Abstract	
	CJ	PROPSON, "The Secret Matchmaker," BUSINESS2.COM, March 6, 2001, pp 90-93	
	CK	ARVEDLUND, "An Arranged Exchange," BUSINESS2.COM, February 6, 2001, pp 90-91	
	CL	CHANG, "New Age Bidding: Against Computers, Humans Usually Lose," New York Times, January 2, 2001, pages 1-3	
<u></u>	СМ	RIJNEN, "Trading Places," Alleycat News, pages 61-73, November 2000	
-	CN	e-mail from lab_rat@listserv.redherring.com, dated February 8, 2001, Subject: LAB RAT: Smart technology trounces traders, pages 1-5	

Examiner	Date	
Signature	Considered	

RECEIVED

SEP 1 8 2001

Technology Center 2100